

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

GEISSMANN *et al.*

Appl. No. 09/832,922

Filed: April 12, 2001

For: **Compositions and Methods for Use
in Modulating Immune System
Function**

Confirmation No.: 8471

Art Unit: 1644

Examiner: Huynh, P.N.

Atty. Docket: 1383.0260001

02/12/2001
1383.0260001
P.N. HUYNH

Information Disclosure Statement

Commissioner for Patents
Washington, D.C. 20231

*Via Hand Carry to Examiner Phuong N. Huynh
Art Unit 1644*

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. A copy of each of these documents is provided.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

In accordance with 37 C.F.R. § 1.98(a)(3), Applicants' undersigned representative submits the following concise statement of the relevance of the non-English language documents, Doc. Nos. AN1, AO2, AP3, AL4, AL9, and AM9, cited on the Form PTO-1449:

Doc. No. **AN1**, WIPO Publication No. WO 99/05292, is in the Japanese language. An unverified abstract of this publication in the English language is found on the face page of the document, and an additional unverified abstract of the publication in the English language (obtained from Derwent WPI) is attached as Doc. No. **AT73**.

Doc. No. **AO2**, WIPO Publication No. WO 98/29183, is in the Russian language. An unverified abstract of this publication in the English language is found on the face page of the document, and an additional unverified abstract of the publication in the English language (obtained from Derwent WPI) is attached as Doc. No. **AR74**.

Doc. No. **AP3**, EPO Publication No. EP 0 722 928 B1, is in the French language. An unverified abstract of this publication in the English language (obtained from Derwent WPI) is attached as Doc. No. **AS74**.

Doc. No. **AL4**, WIPO Publication No. WO 97/26237, is in the French language. An unverified abstract of this publication in the English language is found on the face page of the document, and an additional unverified abstract of the publication in the English language (obtained from Derwent WPI) is attached as Doc. No. **AT74**.

Doc. No. **AL9**, EPO Publication No. EP 0 253 302 A2, is in the German language. An unverified abstract of this publication in the English language (obtained from Derwent WPI) is attached as Doc. No. **AR75**.

Doc. No. **AM9**, EPO Publication No. EP 0 210 929 A1, is in the French language. An unverified abstract of this publication in the English language (obtained from Derwent WPI) is attached as Doc. No. **AS75**.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will consider information that had been cited or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120. 1138 OG 37, 38 (May 19, 1992).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No statement or fee is required.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in dark ink, appearing to read "Brian J. Del Buono", with a stylized flourish at the end.

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Registration No. 42,473

Date: May 22, 2002

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| FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT | ATTY. DOCKET NO. 1383.0260001 | APPLICATION NO. 09/832,922 |
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| U.S. PATENT DOCUMENTS | | | | | | | |
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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
| | AA1 | 6,184,256 | 02/06/2001 | Basset et al. | 514 | 725 | 04/24/1998 |
| | AB1 | 6,130,230 | 10/10/2000 | Chambon et al. | 514 | 311 | 08/28/1997 |
| | AC1 | 5,861,274 | 01/19/1999 | Evans et al. | 435 | 69.1 | 06/07/1995 |
| | AD1 | 5,849,923 | 12/15/1998 | Starrett, Jr. et al. | 546 | 340 | 06/04/1996 |
| | AE1 | 5,780,676 | 07/14/1998 | Boehm et al. | 562 | 490 | 06/07/1995 |
| | AF1 | 5,747,661 | 05/05/1998 | Evans et al. | 536 | 24.1 | 01/13/1995 |
| | AG1 | 5,702,914 | 12/30/1997 | Evans et al. | 435 | 29 | 12/30/1997 |
| | AH1 | 5,675,033 | 10/07/1997 | Vuligonda et al. | 560 | 100 | 06/06/1995 |
| | AI1 | 5,648,514 | 07/15/1997 | Johnson et al. | 560 | 102 | 12/29/1994 |
| | AJ1 | 5,624,957 | 04/29/1997 | Swann et al. | 514 | 535 | 06/06/1995 |
| | AK1 | 5,618,839 | 04/08/1997 | Starrett, Jr. et al. | 514 | 513 | 05/02/1996 |

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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
| | AL1 | WO 00/64260 | 11/02/2000 | WIPO | | | Yes No |
| | AM1 | EP O 903 149 A1 | 03/24/1999 | Europe | | | Yes No |
| | AN1 | WO 99/05292 | 02/04/1999 | WIPO | | | Yes X No |
| | AO1 | WO 98/49555 | 11/05/1998 | WIPO | | | Yes No |
| | AP1 | WO 98/48825 | 11/05/1998 | WIPO | | | Yes No |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) | | | |
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| AR | <u>1</u> | Abrams, J.S., et al., "New Chemotherapeutic Agents for Breast Cancer," <i>Supp. Cancer</i> 74:1164-1176, J.B. Lippincott Company (1994). | |
| AS | <u>1</u> | Alcalay, M., et al., "Translocation breakpoint of acute promyelocytic leukemia lies within the retinoic acid receptor α locus," <i>Proc. Natl. Acad. Sci. USA</i> 88:1977-1981, National Academy of Sciences (1991). | |
| AT | <u>1</u> | Allenby, G., et al., "Binding of 9-cis-Retinoic Acid and All-trans-Retinoic Acid to Retinoic Acid Receptors α , β , and γ ," <i>J. Biol. Chem.</i> 269:16689-16695, The American Society for Biochemistry and Molecular Biology, Inc. (1994). | |

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| | AA2 | 5,599,967 | 02/04/1997 | Vuligonda et al. | 560 | 48 | 12/29/1994 |
| | AB2 | 5,559,248 | 09/24/1996 | Starrett, Jr. et al. | 549 | 79 | 04/05/1995 |
| | AC2 | 5,552,271 | 09/03/1996 | Pfahl et al. | 435 | 6 | 11/25/1992 |
| | AD2 | 5,466,861 | 11/14/1995 | Dawson et al. | 560 | 100 | 11/25/1992 |
| | AE2 | 5,399,586 | 03/21/1995 | Davies et al. | 514 | 448 | 03/11/1993 |
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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
| | AL2 | WO 98/48055 | 10/29/1998 | WIPO | | | Yes No |
| | AM2 | WO 98/47861 | 10/29/1998 | WIPO | | | Yes No |
| | AN2 | WO 98/46228 | 10/22/1998 | WIPO | | | Yes No |
| | AO2 | WO 98/29183 | 07/09/1998 | WIPO | | | Yes X No |
| | AP2 | WO 98/29120 | 07/09/1998 | WIPO | | | Yes No |

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| | AR | <u>2</u> | Allenby, G., et al., "Retinoic acid receptors and retinoid X receptors: Interactions with endogenous retinoic acids," <i>Proc. Natl. Acad. Sci. USA</i> 90:30-34, National Academy of Sciences (1993). |
| | AS | <u>2</u> | Allenby, G., "The Ying-yang of RAR and AP-1: cancer treatment without overt toxicity," <i>Human and Exper. Toxicol.</i> 14:226-230, Macmillan Press (1995). |
| | AT | <u>2</u> | Anglard, P., et al., "Structure and Promoter Characterizaation of the Human Stromelysin-3 Gene," <i>J. Biol. Chem.</i> 270:20337-20344, The American Society for Biochemistry and Molecular Biology, Inc. (1995). |

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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
| | AL3 | WO 98/29113 | 07/09/1998 | WIPO | | | Yes No |
| | AM3 | WC 98/08546 | 03/05/1998 | WIPO | | | Yes No |
| | AN3 | WO 97/35195 | 09/25/1997 | WIPO | | | Yes No |
| | AO3 | WO 97/29182 | 08/14/1997 | WIPO | | | Yes No |
| | AP3 | EP 0 722 928 B1 | 08/06/1997 | Europe | | | Yes X No |

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| | AR | <u>3</u> | Apfel, C.M., <i>et al.</i> , "Enhancement of HL-60 Differentiation by a New Class of Retinoids with Selective Activity on Retinoid X Receptor," <i>J. Biol. Chem.</i> 270:30765-30772, The American Society for Biochemistry and Molecular Biology, Inc. (1995). |
| | AS | <u>3</u> | Apfel, C., <i>et al.</i> , "A retinoic acid receptor α antagonist selectively counteracts retinoic acid effects," <i>Proc. Natl. Acad. Sci. USA</i> 89:7129-7133, National Academy of Sciences (1992). |
| | AT | <u>3</u> | Aström, A., <i>et al.</i> , "Retinoic Acid and Synthetic Analogs Differentially Activate Retinoic Acid Receptor Dependent Transcription," <i>Biochem. Biophys. Res. Comm.</i> 173:339-345, Academic Press, Inc. (1990). |

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| | AL4 | WO 97/26237 | 07/24/1997 | WIPO | | | Yes X No |
| | AM4 | WO 97/24447 | 07/10/1997 | WIPO | | | Yes No |
| | AN4 | WO 97/16422 | 05/09/1997 | WIPO | | | Yes No |
| | AO4 | WO 97/14426 | 04/24/1997 | WIPO | | | Yes No |
| | AP4 | WO 97/09418 | 03/13/1997 | WIPO | | | Yes No |

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| | AR | <u>4</u> | Banchereau, J. and Steinman, R.M., "Dendritic cells and the control of immunity," Nature 392:245-252, Macmillan Publishers Ltd. (1998). |
| | AS | <u>4</u> | Basset, P., et al., "A novel metalloproteinase gene specifically expressed in stromal cells of breast carcinomas," Nature 348:699-704, Macmillan Publishers Ltd. (1990). |
| | AT | <u>4</u> | Beard, R.L., et al., "Synthesis and Biological Activity of 1,2,3,4-Tetrahydroquinoline and 3,4-(1H)-Dihydroquinolin-2-one Analogs of Retinoic Acid," Bioorg. Med. Chem. Lett. 7:2373-2378, Elsevier Science Ltd. (1997). |

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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
| | AL5 | 2,230,637 | 03/06/1997 | Canada | | | Yes No |
| | AM5 | EP 0 502 979 B1 | 01/22/1997 | Europe | | | Yes No |
| | AN5 | WO 96/40669 | 12/19/1996 | WIPO | | | Yes No |
| | AO5 | EP 0 747 347 A1 | 12/11/1996 | Europe | | | Yes No |
| | AP5 | EP 0 479 916 B1 | 11/20/1996 | Europe | | | Yes No |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) | | | |
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| AR | <u>5</u> | Bedford, P.A. and Knight, S.C., "The effect of retinoids on dendritic cell function," <i>Clin. Exp. Immunol.</i> 75:481-486, Blackwell Scientific Publications (1989). | |
| AS | <u>5</u> | Benbrook, D.M. et al., "Biologically Active Heteroarotinoids Exhibiting Anticancer Activity and Decreased Toxicity," <i>J. Med. Chem.</i> 40:3567-3583, American Chemical Society (1997). | |
| AT | <u>5</u> | Bérard, J., et al., "Lung tumors in mice expressing an antisense RAR β 2 transgene," <i>FASEB J.</i> 10:1091-1097, Federation of American Societies for Experimental Biology (1996). | |

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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
| | AL6 | 2,218,955 | 10/31/1996 | Canada | | | Yes No |
| | AM6 | WO 96/33716 | 10/31/1996 | WIPO | | | Yes No |
| | AN6 | EP 0 728 742 A2 | 08/28/1996 | Europe | | | Yes No |
| | AO6 | 2,210,248 | 07/18/1996 | Canada | | | Yes No |
| | AP6 | WO 96/11686 | 04/25/1996 | WIPO | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| | AR | <u>6</u> | Bernard, B.A., et al., "Identification of Synthetic Retinoids with Selectivity for Human Nuclear Retinoic Acid Receptor γ ," <i>Biochem. Biophys. Res. Comm.</i> 186:977-983, Academic Press, Inc. (1992). |
| | AS | <u>6</u> | Berrodin, T.J., et al., "Heterodimerization among Thyroid Hormone Receptor, Retinoic Acid Receptor, Retinoid X Receptor, Chicken Ovalbumin Upstream Promoter Transcription Factor, and an Endogenous Liver Protein," <i>Mol. Endocrinol.</i> 6:1468-1478, The Endocrine Society (1992). |
| | AT | <u>6</u> | Boehm, M.F., et al., "Design and Synthesis of Potent Retinoid X Receptor Selective Ligands That Induce Apoptosis in Leukemia Cells," <i>J. Med. Chem.</i> 38:3146-3155, American Chemical Society (1995). |

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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
| | AL7 | WG 96/06070 | 02/29/1996 | WIPO | | | Yes No |
| | AM7 | WG 96/01317 | 01/18/1996 | WIPO | | | Yes No |
| | AN7 | WG 95/18380 | 07/06/1995 | WIPO | | | Yes No |
| | AO7 | EP 0 661 259 A1 | 07/05/1995 | Europe | | | Yes No |
| | AP7 | EP 0 325 849 B1 | 07/05/1995 | Europe | | | Yes No |

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| | AR | <u>7</u> | Bollag, W., et al., "Cancer Combination Chemotherapy with Retinoids: Experimental Rationale," <i>Leukemia</i> 8:1453-1457, Macmillan Press Ltd. (1994). |
| | AS | <u>7</u> | Bollag W. and Holdener, E.E., "Retinoids in cancer prevention and therapy," <i>Annals of Oncol.</i> 3:513-526, Kluwer Academic Publishers (1992). |
| | AT | <u>7</u> | Bollag, W. and Peck R., "Modulation of Growth and Differentiation by Combined Retinoids and Cytokines in Cancer," <i>Basic and Clin. Oncol.</i> 4:89-108, Marcel Dekker, Inc. (1993). |

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| | AL8 | WO 95/04036 | 02/09/1995 | WIPO | | | Yes No |
| | AM8 | WO 94/26100 | 11/24/1994 | WIPO | | | Yes No |
| | AN8 | AU B 58248/90 | 05/08/1993 | Australia | | | Yes No |
| | AO8 | 2,100,582 | 09/19/1992 | Canada | | | Yes No |
| | AP8 | 2,057,049 | 11/27/1990 | Canada | | | Yes No |

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| | AR | <u>8</u> | Bollag, W., "The retinoid revolution," FASEB J. 10:938-939, Federation of American Societies for Experimental Biology (1996). |
| | AS | <u>8</u> | Bonhomme, L., et al., "Topical treatment of epidemic Kaposi's sarcoma with all-trans-retinoic acid," Ann. Oncol. 2:234-235, Oxford University Press (1991). |
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| | AL9 | EP 0 253 302 A2 | 01/20/1988 | Europe | | | Yes X No |
| | AM9 | EP 0 210 929 A1 | 02/04/1987 | Europe | | | Yes X No |
| | AN | | | | | | Yes No |
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| | AP | | | | | | Yes No |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) | | | |
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| AS | 2 | Brooks III, S.C., et al., "Myeloid Differentiation and Retinoblastoma Phosphorylation Changes in HL-60 Cells Induced by Retinoic Acid Receptor- and Retinoid X Receptor-Selective Retinoic Acid Analogs," <i>Blood</i> 87:227-237, W. B. Saunders Company (1996). | |
| AT | 2 | Buck, J., et al., "Differences in the Action and Metabolism between Retinol and Retinoic Acid in B Lymphocytes," <i>J. Cell. Biol.</i> 115:851-859, The Rockefeller University Press (1991). | |

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| | AR | <u>10</u> | Buck, J., et al., "Intracellular Signaling by 14-Hydroxy-4,14-Retro-Retinol," <i>Science</i> 254:1654-1656, American Association for the Advancement of Science (1991). |
| | AS | <u>10</u> | Bugge, T.H., et al., "RXR α , a promiscuous partner of retinoic acid and thyroid hormone receptors," <i>EMBO J.</i> 11:1409-1418, Oxford University Press (1992). |
| | AT | <u>10</u> | Castaigne, S., et al., "All-Trans Retinoic Acid as a Differentiation Therapy for Acute Promyelocytic Leukemia. I. Clinical Results," <i>Blood</i> 76:1704-1709, W.B. Saunders Company (1990). |
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| AS | <u>11</u> | | Chambon, P., "A decade of molecular biology of retinoic acid receptors," <i>FASEB J.</i> 10:940-954, Federation of American Societies for Experimental Biology (1996). |
| AT | <u>11</u> | | Chambon, P., "The retinoid signaling pathway: molecular and genetic analyses," <i>Semin. Cell Biology</i> 5:115-125, Academic Press (1994). |

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| | AS | <u>12</u> | Chandraratna, R., "Tazarotene," <i>Drugs of the Future</i> 22:249-255, Prous Science (1997). |
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| | AR | <u>13</u> | Chazaud, C., <i>et al.</i> , "Retinoic acid is required in the mouse embryo for left-right asymmetry determination and heart morphogenesis," <i>Development</i> 126:2589-2596, The Company of Biologists Ltd. (June 1999). |
| | AS | <u>13</u> | Chen, J.-Y., <i>et al.</i> , "RAR-specific agonist/antagonists which dissociate transactivation and AP1 transrepression inhibit anchorage-independent cell proliferation," <i>EMBO J.</i> 14:1187-1197, Oxford University Press (1995). |
| | AT | <u>13</u> | Chen, J.-Y., <i>et al.</i> , "Two distinct actions of retinoid-receptor ligands," <i>Nature</i> 382:819-822, Macmillan Publishers Ltd. (1996). |

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| | AR | <u>14</u> | Chen, S.J., et al., "Rearrangements in the Second Intron of the RARA Gene Are Present in a Large Majority of Patients With Acute Promyelocytic Leukemia and Are Used as Molecular Marker for Retinoic Acid-Induced Leukemia Cell Differentiation," <i>Blood</i> 78:2696-2701, W. B. Saunders Company (1991). |
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| | AT | <u>14</u> | Chiesa, F., et al., "Prevention of Local Relapses and New Localisations of Oral Leukoplakias with the Synthetic Retinoid Fenretinide (4-HPR). Preliminary Results," <i>Eur. J. Cancer Oral Oncol.</i> 28B:97-102, Pergamon Press Ltd (1992). |

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| AT | <u>15</u> | Chomienne, C., et al., "Retinoid differentiation therapy in promyelocytic leukemia," <i>FASEB J.</i> 10:1025-1030, Federation of American Societies for Experimental Biology (1996). |

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| | AR | <u>16</u> | Clifford, J., <i>et al.</i> , "RXR α -null F9 embryonal carcinoma cells are resistant to the differentiation, anti-proliferative and apoptotic effects of retinoids," <i>EMBO J.</i> 15:4142-4155, Oxford University Press (1996). |
| | AS | <u>16</u> | Costa, A., <i>et al.</i> , "Prospects of Chemoprevention of Human Cancers with the Synthetic Retinoid Fenretinide," <i>Can. Res.</i> 54:2032s-2037s, American Association for Cancer Research (1994). |
| | AT | <u>16</u> | Creech Kraft, J., "20. Pharmacokinetics, placental transfer, and teratogenicity of 13- <i>cis</i> -retinoic acid,, its isomer and metabolites," in: <i>Retinoids in Normal Development and Teratogenesis</i> , Morriss-Kay, G., ed., Oxford University Press, Oxford, UK, pp. 267-280 (1992). |

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| | AR | <u>20</u> | Durand, B., et al., "Activation function 2(AF-2) of retinoic acid receptor and 9-cis retinoic acid receptor: presence of a conserved autonomous constitutive activating domain and influence of the nature of the response element on AF-2 activity," <i>EMBO J.</i> 13:5370-5382, Oxford University Press (1994). |
| | AS | <u>20</u> | Durand, B., et al., "All-Trans and 9-Cis Retinoic Acid Induction of CRABP II Transcription Is Mediated by RAR-RXR Heterodimers Bound to DR1 and DR2 Repeated Motifs," <i>Cell</i> 71:73-85, Cell Press (1992). |
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| | AL | | | | | | Yes No |
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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| AS | <u>40</u> | Laudet, V. and Stehelin, D., "Flexible friends," <i>Curr. Biol.</i> 2:293-295, Cell Press (1992). |
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| | APPLICANT Geissmann et al. | |
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| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) | | | |
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INFORMATION DISCLOSURE STATEMENT

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| | AT | <u>42</u> | Leng, X., et al., "Mouse Retinoid X Receptor Contains Separable Ligand-Binding and Transactivation Domain in Its E Region," <i>Mol. Cell. Biol.</i> 15:255-263, American Society for Microbiology (1995). |

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| AR | <u>43</u> | Linney, E., "Retinoic Acid Receptors: Transcription Factors Modulating Gene Regulation, Development, and Differentiation," <i>Curent Topics in Developmental Biol.</i> 27:309-350, Academic Press, Inc. (1992). | |
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| AT | <u>43</u> | Lippman, S.M., et al., "13-cis-Retinoic Acid Plus Interferon α -2a: Highly Active Systemic Therapy for Squamous Cell Carcinoma of the Cervix," <i>J. Natl. Cancer Inst.</i> 84:241-245, Oxford University Press (1992). | |

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| | AR | <u>44</u> | Liu, Q. and Linney, E., "The Mouse Retinoid-X Receptor- γ Gene: Genomic Organization and Evidence for Functional Isoforms," <i>Mol. Endocrinol.</i> 7:651-658, The Endocrine Society (1993). |
| | AS | <u>44</u> | Lo Coco, F., et al., "Molecular Evaluation of Response to All-Trans-Retinoic Acid Therapy in Patients With Acute Promyelocytic Leukemia," <i>Blood</i> 77:1657-1659, W. B. Saunders Company (1991). |
| | AT | <u>44</u> | Lohnes, D., et al., "Function of the retinoic acid receptors (RARs) during development," <i>Development</i> 120:2723-2748, The Company of Biologists Ltd. (1994). |

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| | AR | <u>45</u> | Lotan, R., <i>et al.</i> , Enhanced Efficacy of Combinations of Retinoic Acid- and Retinoid X Receptor-selective Retinoids and α -Interferon in Inhibition of Cervical Carcinoma Cell Proliferation," <i>Can. Res.</i> 55:232-236, American Association for Cancer Research (1995). |
| | AS | <u>45</u> | Lotan, R., "Retinoids in cancer chemoprevention," <i>FASEB J.</i> 10:1031-1039, Federation of American Societies for Experimental Biology (1996). |
| | AT | <u>45</u> | Malkovsky, M., <i>et al.</i> , "T-cell-mediated enhancement of host-versus-graft reactivity in mice fed a diet enriched in vitamin A acetate," <i>Nature</i> 302:338-340, Macmillan Journals Ltd. (1983). |

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| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) | | | |
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| | AR | <u>46</u> | Mangelsdorf, D.J. and Evans, R.M., "The RXR Heterodimers and Orphan Receptors," <i>Cell</i> 83:841-850, Cell Press (1995). |
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| | AT | <u>46</u> | Mangelsdorf, D.J., et al., "The Nuclear Receptor Superfamily: The Second Decade," <i>Cell</i> 83:835-839, Cell Press (1995). |

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| AR | <u>48</u> | Mendelsohn, C., et al., "Function of the retinoic acid receptors (RARs) during development," <i>Development</i> 120:2749-2771, The Company of Biologists Ltd. (1994). | |
| AS | <u>48</u> | Meng-er, H., et al., "Use of All-Trans Retinoic Acid in the Treatment of Acute Promyelocytic Leukemia," <i>Blood</i> 72:567-572, Grune & Stratton (1988). | |
| AT | <u>48</u> | Meunier, L., et al., "Retinoic Acid Upregulates Human Langerhans Cell Antigen Presentation and Surface Expression of HLA-DR and CD11c, a β 2 Integrin Critically Involved in T-Cell Activation," <i>J. Invest. Dermatol.</i> 103:775-779, The Society for Investigative Dermatology, Inc. (1994). | |

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| AR | <u>49</u> | Meyer, M.E., et al., "Agonistic and antagonistic activities of RU486 on the functions of the human progesterone receptor," <i>EMBO J.</i> 9:3923-3932, Oxford University Press (1990). | |
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| AT | <u>49</u> | Mohanty-Hejmadi, P., et al., "Limbs generated at site of tail amputation in marbled balloon frog after vitamin A treatment," <i>Nature</i> 355:352-353, Macmillan Publishers Ltd. (1992). | |

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| | AS | <u>50</u> | Mu, Z.M., et al., "PML, a Growth Suppressor Disrupted In Acute Promyelocytic Leukemia," <i>Mol. Cell. Biol.</i> 14:6858-6867, American Society for Microbiology (1994). |
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| AS | <u>55</u> | Pfahl, M., "Nuclear Receptor/Ap-1 Interaction," <i>Endocrine Reviews</i> 14:651-658, The Endocrine Society (1993). | |
| AT | <u>55</u> | Rahmathullah, L., et al., "Reduced Mortality Among Children in Southern India Receiving a Small Weekly Dose of Vitamin A," <i>N. Eng. J. Med.</i> 323:929-935, Massachusetts Medical Society (1990). | |

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| | AT | <u>58</u> | Ruberte, E., et al., "Retinoic acid receptors and cellular retinoid binding proteins," <i>Development</i> 111:45-60, The Company of Biologists Ltd. (1991). |

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| | AS | 59 | Sallusto, F. and Lanzavecchia, A., "Efficient Presentation of Soluble Antigen by Cultured Human Dendritic Cells Is Maintained by Granulocyte/Macrophage Colony-stimulating Factor Plus Interleukin 4 and Downregulated by Tumor Necrosis Factor α ," <i>J. Exp. Med.</i> 179:1109-1118, The Rockefeller University Press (1994). |
| | AT | 59 | Sato, H., et al., "A matrix metalloproteinase expressed on the surface of invasive tumour cells," <i>Nature</i> 370:61-65, Macmillan Publishers Ltd. (1994). |

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INFORMATION DISCLOSURE STATEMENT

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| FOREIGN PATENT DOCUMENTS | | | | | | | |
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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB- CLASS | TRANSLATION |
| | AL | | | | | | Yes No |
| | AM | | | | | | Yes No |
| | AN | | | | | | Yes No |
| | AO | | | | | | Yes No |
| | AP | | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| AR | <u>72</u> | Yu, V.C., et al., "Transcriptional regulation by the nuclear receptor superfamily," <i>Curr. Opin. Biotechnol.</i> 3:597-602, Current Biology Ltd. (1992). |
| AS | <u>72</u> | Yu, V.C., et al., "RXR β : A Coregulator That Enhances Binding of Retinoic Acid, Thyroid Hormone, and Vitamin D Receptors to Their Cognate Response Elements," <i>Cell</i> 67:1251-1266, Cell Press (1991). |
| AT | <u>72</u> | Zelent, A., et al., "Cloning of murine α and β retinoic acid receptors and a novel receptor γ predominantly expressed in skin," <i>Nature</i> 339:714-717, Macmillan Publishers Ltd. (1989). |

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| FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT | ATTY. DOCKET NO. 1383.0260001 | APPLICATION NO. 09/832,922 |
| | APPLICANT Geissmann et al. | |
| | FILING DATE April 12, 2001 | GROUP 1644 |

| U.S. PATENT DOCUMENTS | | | | | | | |
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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB- CLASS | FILING DATE |
| | AA | | | | | | |
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| | AL | | | | | | Yes No |
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| | AN | | | | | | Yes No |
| | AO | | | | | | Yes No |
| | AP | | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| | AR | <u>73</u> | Zhang, X.K., et al., "Retinoid X receptor is an auxiliary protein for thyroid hormone and retinoic acid receptors," <i>Nature</i> 355:441-446, Macmillan Publishers Ltd. (1992). |
| | AS | <u>73</u> | Zhang, X.K., et al., "Homodimer formation of retinoid X receptor induced by 9- <i>cis</i> retinoic acid," <i>Nature</i> 358:587-591, (1992). |
| | AT | <u>73</u> | Dialog File 351, Accession No. 12336837, Derwent WPI English language abstract for WO 99/05292. |

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| | AP | | | | | | Yes No |

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| | AR | <u>74</u> | Dialog File 351, Accession No. 11970921, Derwent WPI English language abstract for WO 98/29183. |
| | AS | <u>74</u> | Dialog File 351, Accession No. 10838464, Derwent WPI English language abstract for EP 0 722 928 B1. |
| | AT | <u>74</u> | Dialog File 351, Accession No. 11407362, Derwent WPI English language abstract for WO 97/26237. |

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| | AP | | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| | AR | <u>75</u> | Dialog File 351, Accession No. 7381745, Derwent WPI English language abstract for EP 0 253 302 A2. |
| | AS | <u>75</u> | Dialog File 351, Accession No. 7031122, Derwent EPI English language abstract for EP 0 210 929 A1. |
| | AT | | |

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